The National Finance Institute

RECOGNITION OF PRIOR LEARNING (RPL)
FNS41820 Certificate IV in Financial Services (Release 2)

What is RPL

The National Finance Institute recognises the skills and knowledge gained through work experience and/or past study. With applicants' diverse backgrounds, sufficient experience and expertise may have been attained in the industry to exempt applicants from standard course requirements. The certificate issued by NFI is a nationally recognised qualification and accepted by industry bodies. Applicants for RPL must provide evidence that demonstrates competency in each chosen unit.

Which Qualification

Please confirm by ticking the box below that this is the qualification you are seeking to attain:

❏ **FNS41820 Certificate IV in Financial Services**

RPL Procedure

Your submission should include the following items. It is envisaged but not mandatory that applicants will have a minimum of two (2) years' experience in their financial services role to qualify for RPL.
Once assembled, please tick below to confirm you have included these items.

❏ Complete the **Competency Statement/Checklist** and in conjunction with your chosen third party

❏ Provide a **detailed CV of the third party** as evidence of their qualification to sign off the application

❏ Provide a **detailed CV** for yourself, demonstrating your experience in the industry. This CV must be verified by a peer or superior. Highlight any relevant qualifications you have achieved or courses you have completed. Evidence by way of Statements or Transcripts should be included.

❏ Include a **Portfolio** containing evidence of work history, prior training, skills and knowledge which will be assessed against the competencies as outlined in the Checklist. This portfolio may include other course certificates/qualifications, accreditations, marketing material, personal references, samples of work, etc. Higher level qualifications in relevant topics require an outline of the topic/s completed as provided by the institution.

❏ Include a **Case Study** of one of your completed customer applications (if you have approval authorities) including your file notes. If you are involved in collections provide an outline of the process you would follow in a typical collections matter. Any case study should exclude a client's supporting docs and please ensure that information confidential to your client is "blacked out" eg. client name, address, contact details, etc. If you are in a back office or supervisory or managerial role that does not involve loan approval or collection work please provide a **detailed job description**.

❏ **Create a document** summarising your understanding of each of the 13 unit topics you are applying for under RPL and how you currently or previously have demonstrated competence in these topics in your workplace. For example, Unit FNSINC411 – outline the responsibilities in your own job role; how you apply policies, standards, codes of practice and ethical requirements and how these are relevant; how you would provide financial services to clients; how stakeholder expectations are met; how you meet your CPD goals; and how you comply with legislative and regulatory requirements.

❏ Please **complete the pages 1 to 5** of this document including the payment authorisation.

The Assessment Process

The documentation submitted by the applicant to NFI will be assessed against each unit of competency within the qualification. The evidence submitted will be assessed using the following criteria:

- Is the applicant's experience and study relevant to the qualification?
- Is the applicant's knowledge and skill current?
- Has the applicant's CV and signee's CV been verified as true and correct?
- Are the skills and the knowledge held by the applicant appropriate to the level of competency for which the applicant is applying?

Phone Interview - A phone interview will also form part of the assessment process. The assessor will interview the applicant to determine the level of knowledge and practical skills held. With the permission of the applicant, a discussion may also be required with the nominated referee to verify competencies. During the phone interview applicants will have the opportunity to provide additional supporting evidence if required.

Additional Study – In some instances, an applicant may have commenced their role many years ago and may not have evidence of currency. Additional training may be requested to establish currency and to meet the additional competency requirements of their RPL application.

An applicant may also choose to select units they wish to study, rather than RPL or Credit Transfer (which is prior study of same unit already completed). An RPL application can be a combination of RPL and Credit Transfer and study of a unit.

The NFI assessor will make one of three decisions:

- ➡ Accept the application and grant recognition for the qualification
- ➡ Request further information from the applicant as a decision was unable to be made on the evidence provided in the initial application and phone interview
- ➡ Recommend that an assessment or additional training is undertaken to achieve one or more units of competence. The applicant will then be advised which subjects are recommended.

If RPL is not approved, any fee already paid for the RPL application may be used towards study of the qualification for which the applicant had sought RPL. Following the outcome, the $995 fee payable for the RPL review is non-refundable if the applicant determines they no longer wish to pursue the full qualification. A Statement of Attainment would be issued for units that were approved through RPL.

Timing

The phone interview will occur within 7 to 10 business days and the assessor's decision within 7 to 14 business days. If the applicant is granted RPL for their qualification an original certificate and the transcript of competencies will be mailed within 5 days of approval finalisation.

The final outcome will be determined within 3 weeks of submission. Documentation will not be returned to the applicant as it is required to be retained for internal audit purposes. If RPL is granted for the full qualification an original certificate and transcript of competencies will be mailed. The assessor's decision may include the outcome that some units qualify under RPL, some by Credit Transfer if prior study has occurred or new study may be required. If study of a unit is to be undertaken with NFI the fee is $139 for online study or $179 for online study with a printed manual provided. There is no GST component.

How to Submit an Application

Applicants can post or scan/email to NFI as below. Applications received by email will be assessed more quickly than those received by mail.

Email/Scan: **enquiries@financeinstitute.com.au**
Post: **RPL Coordinator, The National Finance Institute, P O Box 1354, Capalaba B.C. Qld 4157**

The attached checklist from page 6 must be completed by your nominated third party. The checklist is verification by your third party that you are proficient in all chosen units.

APPLICANT'S DETAILS

First Name: _____   Gender: ☐ Male   ☐ Female

Middle Name (if applicable): _____   Date of birth: _____

Surname: _____

Address: _____

_____

Contact details: Bus hrs phone: _____   Mobile: _____

Email: _____

Additional information required below for education department purposes:

Country of birth: _____ City of birth: _____

Australian citizen: ☐ Yes   ☐ No - if No, what is your country of citizenship: _____

Current employment status: ☐ Full time   ☐ Part time   ☐ Self-employed   ☐ Not working/made redundant

Language spoken at home: _____ Proficiency in spoken English: ☐ Very well   ☐ Well   ☐ Poor

What year did you finish high school? _____

Highest level of education completed: ☐ Bachelor ☐ Diploma ☐ Certificate ☐ Year 12

☐ Other: _____

Reason for seeking this qualification: ☐ Requirement of my job   ☐ To get a job
☐ To try for a different career   ☐ Self-development

What is your USI?   __ __ __ __ __ __ __ __ __ __   (Providing a U.S.I. number is essential)
If you don't have a USI (Unique Student Identifier) please create one at www.usi.gov.au

PAYMENT METHOD

☐ **PayPal -** PayPal payment – please tick here and we will email you a PayPal link request for payment

☐ **Cheque -** Payable to The National Finance Institute, P.O. Box 1354, Capalaba BC Qld 4157

☐ **Direct Deposit -** The National Finance Institute, BSB 114 879, Account 003 139 833

☐ **Credit Card:** _____

   Expiry date: _____   CCV: _____

   Name on Card: _____

   Total Amount: $_____ ☐ $995 Certificate IV by RPL/Credit Transfer only; **or**
☐ $995 Part Certificate IV by RPL/Credit Transfer plus $139 per unit for _____ study units

Please print or sign your name below to agree to NFI's terms and conditions:

_____   Today's Date: _____
By submission trainees agree to The National Finance Institute's terms and conditions available at www.financeinstitute.com.au

FNS41820 Certificate IV in Financial Services (Release 2)
RPL Application – Unit selection

Full qualification: Total number of units = 13
Comprised of 1 core unit plus 12 elective units of which:

    8 units must be selected from the Group A or B below - these 8 units must have an **FNS** code.

    4 units may be selected from any electives below or from a Certificate III, Certificate IV or Diploma qualification in any currently endorsed training package or accredited course on NFI's scope.

Any equivalent units from the previous Release 1 of this qualification are noted in brackets below.

PLEASE INDICATE BELOW WHICH UNITS YOU ARE APPLYING FOR UNDER RPL

IF YOUR APPLICATION INCLUDES PROOF OF PRIOR STUDY OF ANY UNITS, PLEASE CHOOSE *CREDIT TRANSFER*.
IF YOU BELIEVE YOU WILL NEED TO STUDY THE UNIT, PLEASE CHOOSE *STUDY UNIT*.
Please refer to the information on page 6 onwards for the full content of each unit.

CORE UNIT - Please tick 1	**RPL or Credit Transfer (CT) or Study Unit – please tick your preference**		
	RPL	CT	Study Unit
FNSINC411 Conduct work according to professional practices in the financial services industry	☐	☐	☐

ELECTIVE UNITS - Please tick 12 from any Group.
8 units must have an FNS code

– Group A – General Financial Service Units	RPL	CT	Study Unit
FNSACC405 Maintain inventory records	☐	☐	☐
FNSACC412 Prepare operational budgets	☐	☐	☐
FNSACC413 Make decisions in a legal context	☐	☐	☐
FNSASIC311 Establish client relationship and analyse needs (equivalent to FNSASIC301)	☐	☐	☐
FNSCUS412 Resolve disputes (equivalent to FNSCUS402)	☐	☐	☐
FNSORG411 Conduct individual work within a compliance framework	☐	☐	☐
FNSRSK411 Apply risk management strategies to own work	☐	☐	☐
FNSSAM422 Implement promotional strategies for financial products/services (equivalent to FNSSAM402)	☐	☐	☐
FNSTPB412 Establish and maintain payroll systems (equivalent to FNSTPB402)	☐	☐	☐
– Group B – Mortgage Lending			
FNSCRD401 Assess credit applications	☐	☐	☐
FNSCRD404 Utilise the legal process to recover outstanding debt	☐	☐	☐
FNSCRD412 Establish and maintain appropriate security for credit facilities (equivalent to FNSCRD402)	☐	☐	☐
FNSCRD413 Manage and recover bad and doubtful debts (equivalent to FNSCRD403)	☐	☐	☐
FNSCRD415 Manage overdue customer accounts (equivalent to FNSCRD405)	☐	☐	☐

– Group C – Generic Units			
	RPL	CT	Study Unit
BSBAUD412 Work within compliance frameworks	☐	☐	☐
BSBCMM411 Make presentations (equivalent to BSBCMM401)	☐	☐	☐
BSBFIN501 Manage budgets and financial plans	☐	☐	☐
BSBINS401 Analyse and present research information (equivalent to BSBRES411)	☐	☐	☐
BSBINS402 Coordinate workplace information systems (equivalent to BSBINM401)	☐	☐	☐
BSBINS409 Maintain and monitor digital information and records (equivalent to BSBRSK404)	☐	☐	☐
BSBLDR411 Demonstrate leadership in the workplace (equivalent to BSBMGT401)	☐	☐	☐
BSBLDR413 Lead effective workplace relationships (equivalent to BSBLDR402)	☐	☐	☐
BSBLDR414 Lead team effectiveness (equivalent to BSBLDR403)	☐	☐	☐
BSBOPS403 Apply business risk management processes (equivalent to BSBRSK401)	☐	☐	☐
BSBOPS404 Implement customer service strategies (equivalent to BSBCUS401)	☐	☐	☐
BSBOPS405 Organise business meetings	☐	☐	☐
BSBPEF402 Develop personal work priorities (equivalent to BSBWOR404)	☐	☐	☐
BSBPMG426 Apply project risk management techniques (equivalent to BSBPMG415)	☐	☐	☐
BSBSTR402 Implement continuous improvement (equivalent to BSBMGT403)	☐	☐	☐
BSBTEC402 Design and produce complex spreadsheets (equivalent to BSBITU402)	☐	☐	☐
BSBTWK401 Build and maintain business relationships	☐	☐	☐
BSBWHS414 Contribute to WHS risk management (equivalent to BSBWHS404)	☐	☐	☐

If you have already completed equivalent units through RPL, Credit Transfer or Study, please note those unit code/names below, provide your Statement or Transcript to us, and we will determine their eligibility for recognition towards this qualification.
You may nominate to have a maximum of **4** alternative units assessed by RPL – units must be relevant to this qualification.   They may be from a Certificate III, Certificate IV or Diploma qualification in any currently endorsed training package or accredited course.

	RPL	CT
	☐	☐
	☐	☐
	☐	☐
	☐	☐

COMPETENCY STATEMENT / CHECKLIST

FOR RECOGNITION OF PRIOR LEARNING

To be completed and signed by the applicant's nominated third party eg. a manager of the applicant.

The person making this statement must be suitably qualified to answer the questions and provide a CV as evidence of the qualifications or experience to adjudicate the applicant. The chosen third party can be from a current or previous workplace, if applicable.

The person making this statement must ensure that their responses are true and accurate and that they may be called upon to provide evidence if required in a court of law.

Details of Person Declaring (ie. the Applicant's manager / BDM)

Name: _____

Company and Position (if applicable): _____

Address: _____

_____

Contact details: Phone: _____   Mobile: _____

Email: _____

eSignature: _____   Date: _____

Applicant's Details:

Name: _____

Address: _____

_____

Contact details: Phone: _____   Mobile: _____

Email: _____

I, as the nominated third party for this applicant certify that the applicant has the following skills and knowledge and can demonstrate the following competencies.

Indicate by ticking in this column below
Please only tick the topics that match the chosen units in the pages prior

CORE UNIT

FNSINC411 Conduct Work According to Professional Practices in the Financial Services Industry

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Prepare to provide financial services	1.1 Identify tasks, requirements and responsibilities involved in own job role 1.2 Identify procedures, guidelines, policies, standards, codes of practice and ethical requirements relevant to own job role 1.3 Consult with appropriate colleagues to identify position and responsibilities of own job role in wider organisation	☐ Yes ☐ No ☐ Unsure
2. Provide financial services within the professional practice framework	2.1 Apply relevant procedures, guidelines, policies, standards, codes of practice and ethical considerations to own job role 2.2 Carry out work tasks according to organisational policies and procedures, and in accordance with industry, organisational and community expectations 2.3 Communicate with colleagues and clients regarding stakeholder needs and expectations of own job role as required	☐ Yes ☐ No ☐ Unsure
3. Maintain professional practice	3.1 Identify and review personal professional development needs and goals on regular basis 3.2 Clarify and comply with organisational, legislative, and regulatory requirements 3.3 Consult with managerial staff to clarify ongoing expectations and goals of organisation and job role	☐ Yes ☐ No ☐ Unsure

ELECTIVE UNITS – GROUP A – GENERAL FINANCIAL SERVICE UNITS

FNSACC405 Maintain Inventory Records

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Process inventory purchase	1.1 Record purchase of inventory from appropriate documentation in subsidiary ledger 1.2 Maintain periodic and perpetual records of inventory	☐ Yes ☐ No ☐ Unsure
2. Record inventory flows	2.1 Apply inventory flow assumptions as appropriate 2.2 Value inventory using appropriate valuation rules	☐ Yes ☐ No ☐ Unsure
3. Reconcile inventory records to general ledgers	3.1 Reconcile all inventory records to accounts in accordance with organisational policy, procedures and practices 3.2 Identify and action discrepancies according to organisational policy, procedures and practices	☐ Yes ☐ No ☐ Unsure
4. Prepare inventory schedules and ad hoc reports	4.1 Develop and document schedules of inventory turnover and other procedures 4.2 Prepare spreadsheets and ad hoc reports on inventory status as required or requested	☐ Yes ☐ No ☐ Unsure

FNSACC412 Prepare Operational Budgets

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Prepare budget	1.1 Confirm budget objectives are consistent with organisational aims, projects and forecasts 1.2 Define cash, expenditure and revenue items and ensure they are relevant to budget 1.3 Discuss and clarify identified budget information with stakeholders according to organisational procedures	☐ Yes ☐ No ☐ Unsure
2. Set budget timeframe	2.1 Identify, confirm and include milestones and performance indicators in budget 2.2 Break down annual budgets into seasonal periods according to organisational operating procedures	☐ Yes ☐ No ☐ Unsure
3. Document budget	3.1 Present data in a clear format appropriate to budget reporting 3.2 Complete and distribute reports for specified periods and projects within agreed timeframes 3.3 Monitor budget variance and seek direction from client or designated person to address variance as required	☐ Yes ☐ No ☐ Unsure

FNSACC413 Make Decisions in a Legal Context

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Examine legal context of financial services work	1.1 Identify key features of Australian legal systems and processes relating to own role 1.2 Identify functions of courts and other regulatory bodies relating to own role 1.3 Analyse implications of related legislation, regulations and legal precedents for operational decisions, and apply findings in decision-making process 1.4 Seek advice and guidance to evaluate and moderate decision-making processes	☐ Yes ☐ No ☐ Unsure
2. Identify compliance requirements of financial services work	2.1 Interpret compliance requirements of own financial services work, and confirm interpretation with authoritative source relating to own role 2.2 Review legislative and regulatory sources of information to identify changes to compliance requirements 2.3 Analyse impact of changes to compliance requirements on business operations, policies and procedures	☐ Yes ☐ No ☐ Unsure
3. Develop compliance procedures	3.1 Develop procedures in consultation with others to address compliance requirements 3.2 Establish timeframes to meet compliance requirements to align with statutory deadlines	☐ Yes ☐ No ☐ Unsure

FNSASIC311 Establish Client Relationship and Analyse Needs   (equivalent to FNSASIC301)

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Establish relationship with client	1.1 Establish client's knowledge in regard to products or services being sought 1.2 Respond to enquiries in relation to products and services by explaining range available and associated fee and charging schedule 1.3 Inform client of role of adviser and licensee or principal responsible for adviser's conduct according to regulatory and organisational requirements	☐ Yes ☐ No ☐ Unsure
2. Identify client objectives, needs and financial situation	2.1 Collect client personal, financial and business details 2.2 Establish and confirm client's objectives and short-term, medium-term and long-term goals 2.3 Establish and confirm client expectations of cash flow and relevant taxation obligations	☐ Yes ☐ No ☐ Unsure
3. Analyse client objectives, needs, financial situation and risk profile	3.1 Assess client's needs, in consideration of information gathered and regulatory and organisational requirements 3.2 Consult client throughout analysis for further clarification as required 3.3 Analyse need for specialist advice and refer client to required adviser for higher level or specialist advice 3.4 Complete product risk profile of client	☐ Yes ☐ No ☐ Unsure

FNSCUS412 Resolve Disputes

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Establish that dispute exists	1.1 Identify all information relating to original problem and clarify grounds for dispute 1.2 Contact all parties to identify and clarify disputed issues and confirm that claimant has a legitimate dispute, or that initial complaint has not already been settled to claimant's satisfaction 1.3 Confirm all information relevant to dispute-resolution process is provided to claimant according to organisational operating procedures 1.4 Obtain additional information from relevant parties as required and manage information exchange appropriately 1.5 Inform claimant of organisation's obligations, procedures and timeframes where existence of genuine dispute is established	☐ Yes ☐ No ☐ Unsure
2. Investigate dispute and determine action to be taken	2.1 Collect all information from prior dealings with claimant and undertake further investigations as required 2.2 Inform claimant of progress and advise of any delays 2.3 Determine resolution action with consideration of facts, legislation, organisational policy and procedures, and industry codes of practice 2.4 Inform required personnel of action to be taken	☐ Yes ☐ No ☐ Unsure
3. Negotiate and resolve dispute	3.1 Inform claimant of decision and reasons if appropriate, and negotiate with claimant or representative as required 3.2 Resolve dispute according to required timelines, aiming to reduce need for litigation or formal conciliation services 3.3 Respect rights of claimant in all dispute-settlement procedures and refer unresolved disputes to formal conciliation services	☐ Yes ☐ No ☐ Unsure
4. Finalise dispute	4.1 Record dispute-resolution process outcomes and advise all parties affected by decision of the outcome and their rights to review decision 4.2 Prepare relevant documentation for unresolved disputes that have been referred to formal conciliation services according to legislation, regulations and codes of practice 4.3 Act on decisions of external dispute-resolution as required 4.4 Complete required documentation according to legislation and organisational procedures	☐ Yes ☐ No ☐ Unsure

FNSORG411 Conduct Individual Work within a Compliance Framework

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Identify and assess individual compliance requirements	1.1 Review organisational policies and procedures and consult appropriate personnel to identify individual compliance requirements 1.2 Map compliance requirements against individual work practices 1.3 Discuss ethical considerations with appropriate parties	☐ Yes ☐ No ☐ Unsure
2. Review individual work practices	2.1 Review existing individual work practices and develop or modify to comply with organisational procedures 2.2 Record and report changes to appropriate organisational personnel	☐ Yes ☐ No ☐ Unsure
3. Identify and respond to ongoing requirements of compliance framework	3.1 Identify and research ongoing issues and updates relating to compliance frameworks applicable to individual work practices 3.2 Monitor and respond to changes to compliance requirements and organisational procedures 3.3 Identify and discuss own compliance professional development and training opportunities with key organisational personnel	☐ Yes ☐ No ☐ Unsure

FNSRSK411 Apply Risk Management Strategies to Own Work

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Identify and confirm risk management strategies	1.1 Research organisational, legislative and regulatory requirements and standards for risk management as indicated by regulators applicable to own job role 1.2 Access and interpret organisational strategy, policy and procedures for risk management 1.3 Clarify and confirm own risk management accountabilities and responsibility with key stakeholders as required	☐ Yes ☐ No ☐ Unsure
2. Apply risk management strategies	2.1 Determine appropriate organisational strategies and tools for controlling risks in own job role 2.2 Determine appropriate tools and strategies for controlling risk where own job role intersects with work of others 2.3 Choose and apply tools and strategies to own area of operation and responsibility	☐ Yes ☐ No ☐ Unsure
3. Report risk management breaches or concerns	3.1 Identify and record evidence of a breach or concern 3.2 Determine organisational procedure to follow in event of breach or concern 3.3 Report breach or concern as indicated by organisational procedure 3.4 Record notification of breach or concern according to organisational procedure	☐ Yes ☐ No ☐ Unsure
4. Review and propose improvements to risk management strategies	4.1 Establish regular processes to monitor, audit and review application of risk management strategies to own work practice 4.2 Identify opportunities for improvements in risk management strategies and recommend to appropriate stakeholders according to organisational procedure	☐ Yes ☐ No ☐ Unsure

FNSSAM422 Implement Promotional Strategies for Financial Products and Services

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Prepare to implement promotional strategy	1.1 Analyse promotional strategy and clarify budget and timeframe targets 1.2 Use existing promotional package materials that meet requirements of promotional strategy, to enhance business corporate image and satisfy required legislation, regulations and codes of practice	☐ Yes ☐ No ☐ Unsure
2. Initiate promotional strategy	2.1 Identify distribution channels and reach agreements for providing products and/or services 2.2 Train personnel in product and service knowledge and client service skills 2.3 Distribute promotional materials to personnel through established distribution channels within required timeframes	☐ Yes ☐ No ☐ Unsure
3. Review promotional strategy	3.1 Establish criteria to measure effectiveness of strategy and performance criteria for personnel and distribution channels, and monitor attainment of targets 3.2 Adjust strategy or product and service distribution as required 3.3 Contribute feedback on implementation of promotional strategy and planning process	☐ Yes ☐ No ☐ Unsure

FNSTPB412 Establish and Maintain Payroll Systems

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Establish payroll requirements	1.1 Assess scope of payroll services that a BAS agent can provide, and identify need for independent expert advice 1.2 Apply knowledge of legislation in relation to National Employment Standards, and legislative requirements in regard to payroll payments 1.3 Research and identify relevant state and modern awards, and employment agreements required for establishing a payroll system for individual employees 1.4 Document the application and implementation of an organisation's payroll reporting requirements through Single Touch Payroll according to statutory requirements	☐ Yes ☐ No ☐ Unsure
2. Record payroll data	2.1 Configure payroll system with complete data provided by employee and employer 2.2 Review payroll data, identify discrepancies, and determine resolution procedure according to organisational policies and procedures 2.3 Enter employee pay period details in payroll system according to source data	☐ Yes ☐ No ☐ Unsure
3. Prepare and process payroll	3.1 Conduct payroll preparation within designated timeframes and according to organisational policies and procedures 3.2 Identify legislative and organisational requirements relevant to employment termination processes and payment and identify procedures for specialist review prior to payment 3.3 Calculate and record payroll using employee source data according to legislative requirements 3.4 Reconcile total payments for pay period, and review and correct irregularities according to organisational policies and procedures 3.5 Make arrangements for individuals' payments according to organisational authorisation policies and procedures 3.6 Observe methodology of preparing an individual's pay advice for distribution according to organisational and legislative requirements 3.7 Generate, review and store payroll records according to organisational, security procedures and statutory requirements	☐ Yes ☐ No ☐ Unsure
4. Handle payroll enquiries	4.1 Respond to payroll enquiries and provide information according to organisational policies and procedures, and legislative and regulatory requirements 4.2 Refer enquiries outside area of responsibility and knowledge to designated persons for resolution	☐ Yes ☐ No ☐ Unsure
5. Maintain payroll	5.1 Identify record keeping requirements relating to payroll according to current legislative and regulatory requirements 5.2 Prepare and reconcile month-end and year-end payroll records 5.3 Update records and systems according to salary reviews and other changes in employment status 5.4 Generate payroll reports according to organisational policies and procedures	☐ Yes ☐ No ☐ Unsure

ELECTIVE UNITS – GROUP B – MORTGAGE LENDING

FNSCRD401 Assess Credit Applications

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Satisfy initial enquiry	1.1 Respond to initial customer enquiries on type, range and availability of credit and provide information with courtesy, respect and recognition of special needs of customers 1.2 Provide basic information, such as terms and conditions and interest rate, and determine potential securitisation needs in accordance with credit policy and legislative requirements	☐ Yes ☐ No ☐ Unsure
2. Assess and verify credit information	2.1 Verify credit applications and documentation in accordance with organisational policy and procedures to maintain accuracy of credit database information 2.2 Analyse credit information to establish that sufficient evidence of accurate information has been provided 2.3 Maintain liaison with customers and relevant internal and external personnel to ensure information is kept up to date and disseminated appropriately	☐ Yes ☐ No ☐ Unsure
3. Assess risk	3.1 Identify and evaluate possible risks to determine overall level of risk associated with application 3.2 Identify need to take security, minimise risk exposure and provide protection against risk in accordance with organisational risk management policy 3.3 Document risk assessment in accordance with organisational procedures	☐ Yes ☐ No ☐ Unsure
4. Establish credit terms and limits	4.1 Make decision on how to proceed with credit application based on assessed information and in accordance with organisational risk management policy 4.2 Determine credit terms and limits within organisational credit policy guidelines and advise customers of credit decisions promptly and courteously 4.3 Complete credit account administration according to organisational credit policy and timelines, and legislative requirements	☐ Yes ☐ No ☐ Unsure

FNSCRD404 Utilise the Legal Process to Recover Outstanding Debt

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Review appropriateness of legal recovery	1.1 Review account history and previous attempts at debt recovery to determine status 1.2 Analyse all documentation to confirm it is accurate and complete	☐ Yes ☐ No ☐ Unsure
2. Instigate legal process	2.1 Confirm within level of delegated authority the appropriate debt recovery action 2.2 Complete all necessary documentation accurately and in accordance with organisational policy and procedures to commence legal proceedings 2.3 Provide advice as required on estimated timeframes for progress of legal proceedings 2.4 Monitor written and verbal reports from service providers and maintain accurate records to reflect progress of legal action	☐ Yes ☐ No ☐ Unsure
3. Implement actions arising from legal process	3.1 Record outcomes of legal proceedings in accordance with the decision and relevant legislation 3.2 Refer matters to authorised personnel for further action where appropriate 3.3 Inform all stakeholders fully of outcomes of legal proceedings	☐ Yes ☐ No ☐ Unsure

FNSCRD412 Establish and Maintain Appropriate Security Options for Credit Facilities

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Assess and communicate security requirements	1.1 Undertake risk analysis of credit applications according to organisational credit policies and guidelines 1.2 Determine customer risk level and identify security requirements 1.3 Explain security requirements to customers, considering any special needs of customers	☐ Yes ☐ No ☐ Unsure
2. Identify available security options and suitability of available securities	2.1 Identify range of securities available and determine which are required for type of credit facility 2.2 Determine customer security arrangements as required within organisational guidelines	☐ Yes ☐ No ☐ Unsure
3. Apply appropriate security	3.1 Confirm value of security through asset analysis and valuation 3.2 Register security interest according to legislative requirements	☐ Yes ☐ No ☐ Unsure
4. Monitor and review effectiveness of security arrangement	4.1 Maintain knowledge of market conditions according to organisation's credit policies and guidelines 4.2 Monitor customer accounts and determine appropriateness of security arrangements 4.3 Amend security arrangement documentation to reflect changes in customers' relationships or circumstances as required	☐ Yes ☐ No ☐ Unsure

FNSCRD413 Manage and Recover Bad and Doubtful Debts

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Determine and implement appropriate action to recover outstanding debt	1.1 Review account history and devise potential recovery actions 1.2 Advise customers promptly of possible implications of outstanding debts 1.3 Resolve any customer objections according to organisational guidelines and legislative requirements 1.4 Document agreed payment arrangements according to organisational system requirements	☐ Yes ☐ No ☐ Unsure
2. Monitor and review effectiveness of recovery action	2.1 Review customer accounts for their adherence to agreed payment arrangements 2.2 Identify customer non-compliance with agreed arrangements and manage according to organisational guidelines 2.3 Involve internal stakeholders in review and monitoring process as required	☐ Yes ☐ No ☐ Unsure
3. Determine and document eligibility for write-off	3.1 Re-assess account to determine if it is appropriate for write-off as agreed payment arrangements have not been met, as required 3.2 Document recommendations for write-off and account closure, complying with legislation and organisational guidelines	☐ Yes ☐ No ☐ Unsure

FNSCRD415 Manage Overdue Customer Accounts

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Identify customers requiring collection activity	1.1 Establish and apply process for regularly monitoring organisational reporting system for possible overdue accounts 1.2 Access relevant customer information and retrieve records 1.3 Review overdue accounts and customer credit histories according to organisational policies and procedures, and relevant legislation	☐ Yes ☐ No ☐ Unsure
2. Establish contact with customers	2.1 Determine appropriate communication with customers to collect outstanding payments according to organisational policies and procedures 2.2 Obtain approval to initiate communication with customers from authorised personnel in the organisation and inform other relevant external parties 2.3 Establish rapport with customers and ensure all communication complies with relevant legislation and organisational policies and procedures 2.4 Advise purpose of contact clearly and comprehensively to customers according to legislative requirements	☐ Yes ☐ No ☐ Unsure
3. Implement process for resolution of outstanding payments	3.1 Advise customers of possibility of legal action and any other implications if outstanding payments are not resolved 3.2 Use appropriate techniques to achieve resolution and record conversation outcomes 3.3 Determine and schedule further action to be undertaken in relation to outstanding payment matters	☐ Yes ☐ No ☐ Unsure
4. Monitor agreements and confirm adherence	4.1 Establish process for regularly reviewing identified accounts and ensuring that payments are received according to agreed arrangements 4.2 Address breaches of agreements according to organisational policies and procedures, and legislative requirements 4.3 Refer outstanding payment matters to appropriate personnel as required	☐ Yes ☐ No ☐ Unsure

ELECTIVE UNITS – GROUP C – GENERIC UNITS

BSBOPS405 Organise Business Meetings

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Prepare meeting documentation and details	1.1 Identify type and purpose of meeting being organised 1.2 Identify and comply with legal, ethical and organisational requirements for business meetings 1.3 Make meeting arrangements according to meeting and participants requirements 1.4 Prepare notice of meeting, agenda and meeting papers according to organisational requirements 1.5 Distribute documentation and meeting details to participants within designated timelines 1.6 Confirm presence of required resources prior to meeting commencement	☐ Yes ☐ No ☐ Unsure
2. Record meeting outcomes	2.1 Take notes of the meeting 2.2 Outline key decisions and actions for implementation 2.3 Review minutes for accuracy and submit for approval by the nominated person 2.4 Distribute relevant post-meeting materials to attendees within designated timelines	☐ Yes ☐ No ☐ Unsure

BSBAUD412 Work within Compliance Frameworks

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Identify compliance requirements	1.1 Identify and document statutory, legislative and regulatory requirements relevant to job role and industry 1.2 Identify and document organisational and industry requirements	☐ Yes ☐ No ☐ Unsure
2. Interpret compliance requirements	2.1 Map compliance requirements against position description and work practices 2.2 Discuss ethical considerations with relevant stakeholders	☐ Yes ☐ No ☐ Unsure
3. Manage personal compliance	3.1 Consult with relevant stakeholders and identify procedures to be applied, applicable to work environment and own job role 3.2 Evaluate own actions in the context of compliance requirements 3.3 Record own compliance action according to organisational policies and procedures	☐ Yes ☐ No ☐ Unsure
4. Review own compliance	4.1 Seek feedback on personal compliance from relevant personnel 4.2 Access and analyse documentation relating to changes in compliance requirements 4.3 Discuss feedback and documentation with relevant personnel and check own ongoing compliance 4.4 Identify required changes to own compliance practice	☐ Yes ☐ No ☐ Unsure

BSBCMM411 Make Presentations

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Prepare presentation	1.1 Plan presentation approach and intended outcomes 1.2 Identify target audience, location and resources requirements 1.3 Select presentation strategies, format and delivery methods according to presentation requirements 1.4 Select techniques to evaluate presentation effectiveness	☐ Yes ☐ No ☐ Unsure
2. Deliver presentation	2.1 Summarise key concepts and ideas and present to target audience 2.2 Provide opportunity for audience to seek clarification on presentation information 2.3 Confirm target audience understand key concepts and ideas, and that identified presentation objectives have been achieved	☐ Yes ☐ No ☐ Unsure
3. Review presentation	3.1 Evaluate effectiveness of the presentation 3.2 Seek and discuss feedback and any reactions to the presentation from participants and relevant stakeholders 3.3 Make changes to presentation based on feedback received	☐ Yes ☐ No ☐ Unsure

BSBFIN501 Manage Budgets and Financial Plans

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Plan financial management approaches	1.1 Access budget and financial plans for work team	☐ Yes
	1.2 Evaluate budget and financial plan outcomes with required organisational personnel	☐ No
	1.3 Negotiate any changes required to be made to budget and financial plans with required organisational personnel	☐ Unsure
	1.4 Prepare contingency plans in the event that initial plans need to be varied	
2. Implement and monitor financial management plans	2.1 Communicate details of agreed budget and financial plans to relevant team members	☐ Yes
	2.2 Support team members to access resources and systems to perform required roles	☐ No
	2.3 Implement processes to monitor actual expenditure, control costs and modify contingency plans as required according to financial objectives	☐ Unsure
	2.4 Report on budget and expenditure according to organisational protocols	
3. Review and evaluate financial management plans	3.1 Collect information on effectiveness of financial management processes within work team	☐ Yes
	3.2 Analyse variance between actual and budgeted finances	☐ No
	3.3 Identify and recommend improvements to existing financial management processes	☐ Unsure
	3.4 Implement agreed improvements according to financial objectives of work team and organisation	
	3.5 Evaluate agreed improvements	

BSBINS401 Analyse and Present Research Information

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Identify and confirm research strategy	1.1 Identify research objectives according to organisational requirements	☐ Yes
	1.2 Identify potential sources for research information relevant to organisation requirements	☐ No
	1.3 Assess reliability of potential sources	☐ Unsure
	1.4 Identify and confirm information research strategy is relevant to the research objectives	
2. Collect and store research information	2.1 Access and extract relevant information in a format suitable for analysis and distribution according to research strategy	☐ Yes
	2.2 Store research information according to security requirements and organisational policies and procedures	☐ No
		☐ Unsure
3. Analyse and synthesise research information	3.1 Analyse stored information according to research strategy	☐ Yes
	3.2 Identify themes and draw conclusions according to research strategy	☐ No
	3.3 Demonstrate that assumptions and conclusions used in analysis are clear, justified, supported by evidence and consistent with research strategy	☐ Unsure
4. Present research information	4.1 Identify methods of reporting that align with the intended audience and relevant organisational requirements	☐ Yes
	4.2 Draft research report on findings	☐ No
	4.3 Facilitate review of draft report according to organisational policies and procedures	☐ Unsure
	4.4 Distribute research report according to organisational policies and procedures	
	4.5 Obtain feedback and comments on suitability and sufficiency of findings in accordance with organisational requirements	

BSBINS402 Coordinate workplace information systems

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Identify and review information needs	1.1 Identify information required by relevant stakeholders	☐ Yes
	1.2 Review information requirements to determine suitability, accessibility, currency and reliability of information according to policies and procedures	☐ No
		☐ Unsure
2. Collect, analyse and report information	2.1 Collect information which is adequate and relevant to the requirements of relevant stakeholders	☐ Yes
	2.2 Confirm information is in a format suitable for analysis, interpretation and distribution	☐ No
	2.3 Analyse information, identify and report relevant trends according to the requirements for which it was collected	☐ Unsure
3. Implement information systems	3.1 Implement information systems effectively to store, retrieve and regularly review information for decision making purposes	☐ Yes
	3.2 Use technology available in the work area to manage information effectively	☐ No
	3.3 Recommend improvements to information system to relevant stakeholders	☐ Unsure
4. Support information system continuous improvement	4.1 Collect data about information system future needs in consultation with relevant stakeholders	☐ Yes
	4.2 Confirm identified information system future needs reflect the organisation's business plans	☐ No
	4.3 Assist development of proposals for continuous improvement of information system	☐ Unsure
	4.4 Distribute information to relevant stakeholders on information system changes, where required	

BSBINS409 Maintain and Monitor Digital Information and Records

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Confirm requirements for maintaining and monitoring digital information and records	1.1 Identify and verify organisational and risk management requirements for classifying and storing information	☐ Yes
	1.2 Identify organisational policies and procedures for recording digital info	☐ No
	1.3 Prepare a checklist of organisational requirements to assess digital information to be captured	☐ Unsure
2. Identify and assess records for storage	2.1 Categorise and describe incoming and outgoing records information in terms of key activities and responsible stakeholder	☐ Yes
	2.2 Assess information against the organisational checklist of requirements to assess electronic records to be captured	☐ No
	2.3 Dispose of information not to be retained, according to organisational policies procedures	☐ Unsure
	2.4 Determine storage methods and media in accordance with retention requirements	
3. Coordinate digital information and records	3.1 Classify and sentence records according to system rules policies procedures	☐ Yes
	3.2 Assign unique identifiers and register records into the information management system according to system rules and policies procedures	☐ No
	3.3 Determine and document access and security status and disposal requirements of records according to organisational policies procedures	☐ Unsure
	3.4 Store records on required media in accordance with organisational and record retention requirements	
	3.5 Migrate records across mediums according to policies and procedures	
	3.6 Action and record archiving or disposal of records according to disposal schedule and organisational policies and procedures	
	3.7 Maintain records in a usable and accessible form in accordance with security conditions and legislative requirements	

BSBLDR411 Demonstrate Leadership in the Workplace

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Prepare to demonstrate leadership	1.1 Identify organisation's requirements for management performance 1.2 Identify qualities required for positive management performance according to organisational policies and procedures 1.3 Develop and implement performance plans for individual and team according to organisation's business objectives 1.4 Establish key performance indicators according to organisation's business objectives	☐ Yes ☐ No ☐ Unsure
2. Align behaviour with organisational values	2.1 Locate and assess organisation's standards and values for conducting business 2.2 Identify how own performance will contribute to upholding organisational values 2.3 Identify issues to be resolved according to organisational values 2.4 Gather and organise information relevant to the issues under consideration	☐ Yes ☐ No ☐ Unsure
3. Model leadership behaviour	3.1 Facilitate individual's and team's active participation in team decision-making processes 3.2 Examine options and assess associated risks to determine preferred course of action 3.3 Develop plan to implement decisions agreed by relevant individuals and teams 3.4 Use feedback processes to monitor the implementation and impact of decisions	☐ Yes ☐ No ☐ Unsure

BSBLDR413 Lead Effective Workplace Relationships

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Prepare to lead workplace relationships	1.1 Identify work team objectives according to organisational strategy 1.2 Collect and analyse information for the achievement of work task 1.3 Share ideas and information with relevant internal and external stakeholders according to work task 1.4 Develop strategy for completion of work task in collaboration with work team	☐ Yes ☐ No ☐ Unsure
2. Lead workplace relationships	2.1 Identify and implement methods to facilitate collaboration to complete work task 2.2 Support colleagues experiencing difficulties fulfilling work requirements 2.3 Manage conflict constructively within the organisation's processes and parameters of own role 2.4 Communicate work progress to relevant internal and external stakeholders	☐ Yes ☐ No ☐ Unsure
3. Review leadership	3.1 Seek feedback on relationship management for work task from relevant stakeholders 3.2 Analyse feedback on relationship management 3.3 Evaluate personal performance in leading workplace relationships 3.4 Identify areas of improvement for leading workplace relationships future work tasks	☐ Yes ☐ No ☐ Unsure

BSBLDR414 Lead Team Effectiveness

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Plan team outcomes	1.1 Lead team to identify and establish team objectives and work processes	☐ Yes
	1.2 Support team to document identified objectives and work processes according to organisational processes	☐ No
	1.3 Encourage team members to incorporate innovation and productivity measures in work plans	☐ Unsure
	1.4 Lead and support team members to meet expected outcomes	
2. Promote team cohesion	2.1 Provide opportunities for input of team members into planning, decision making and operational aspects of work team	☐ Yes
	2.2 Support team members to take responsibility for own work and to assist each other in undertaking required roles and responsibilities	☐ No
	2.3 Provide feedback to team members on their efforts and contributions	☐ Unsure
	2.4 Address or refer issues, concerns and problems identified by team members	
	2.5 Model expected behaviours and approaches	
3. Supervise team performance	3.1 Encourage team members to participate in and take responsibility for team activities and communication processes	☐ Yes
	3.2 Support team to identify and resolve problems which impede performance	☐ No
	3.3 Ensure own contribution to work team serves as a role model for others	☐ Unsure
4. Liaise with management	4.1 Establish open communication with line management	☐ Yes
	4.2 Communicate information from line management to the team	☐ No
	4.3 Communicate unresolved issues, concerns and problems raised by the team to line management to action	☐ Unsure
	4.4 Communicate issues raised by management to the team to action	

BSBOPS403 Apply Business Risk Management Processes

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Identify risks	1.1 Identify context for risk management	☐ Yes
	1.2 Undertake required steps to identify risks	☐ No
	1.3 Document identified risks according to relevant policies, procedures, legislation and standards	☐ Unsure
2. Analyse and evaluate risks	2.1 Analyse risks in consultation with relevant stakeholders	☐ Yes
	2.2 Undertake risk categorisation and determine level of risk	☐ No
	2.3 Document analysis processes and outcomes	☐ Unsure
3. Treat risks	3.1 Identify control measures for risks	☐ Yes
	3.2 Assess strengths and weaknesses of control measures	☐ No
	3.3 Refer risks to relevant personnel, where required, according to policies and procedures	☐ Unsure
	3.4 Select and implement control measures for personal area of operation and responsibilities	
4. Monitor and review effectiveness of risk treatments	4.1 Review implemented treatments against measures of success	☐ Yes
	4.2 Use review results to improve the treatment of risks	☐ No
	4.3 Monitor and review management of risk in personal area of operation	☐ Unsure

BSBOPS404 Implement Customer Service Strategies

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Advise on customer service needs	1.1 Identify organisational customer service objectives and customer needs 1.2 Assess and clarify customer requirements 1.3 Identify and diagnose problems with service delivery 1.4 Develop options to improve customer service delivery according to organisational requirements 1.5 Provide recommendations to promote improvement of customer service delivery	☐ Yes ☐ No ☐ Unsure
2. Support implementation of customer service strategies	2.1 Consult with relevant stakeholders to develop customer service strategies 2.2 Assess customer service strategies and opportunities against customer service objectives 2.3 Identify and allocate available budget resources to fulfil customer service objectives 2.4 Action procedures to resolve customer difficulties and complaints according to organisational requirements	☐ Yes ☐ No ☐ Unsure
3. Evaluate and report on customer service	3.1 Review stakeholder satisfaction with service delivery according to organisational requirements 3.2 Identify and report changes necessary to meet customer service objectives 3.3 Prepare conclusions and recommendations on future directions of client service strategies 3.4 Monitor systems, records and reporting procedures for changes to customer satisfaction	☐ Yes ☐ No ☐ Unsure

BSBOPS405 Organise Business Meetings

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Prepare meeting documentation and details	1.1 Identify type and purpose of meeting being organised 1.2 Identify and comply with legal, ethical and organisational requirements for business meetings 1.3 Make meeting arrangements according to meeting and participants requirements 1.4 Prepare notice of meeting, agenda and meeting papers according to organisational requirements 1.5 Distribute documentation and meeting details to participants within designated timelines 1.6 Confirm presence of required resources prior to meeting commencement	☐ Yes ☐ No ☐ Unsure
2. Record meeting outcomes	2.1 Take notes of the meeting 2.2 Outline key decisions and actions for implementation 2.3 Review minutes for accuracy and submit for approval by the nominated person 2.4 Distribute relevant post-meeting materials to attendees within designated timelines	☐ Yes ☐ No ☐ Unsure

BSBPEF402 Develop Personal Work Priorities

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Plan personal work schedule	1.1 Identify task requirements 1.2 Identify own accountabilities in line with task requirements 1.3 Assess barriers for performance of personal accountabilities 1.4 Develop a personal work schedule	☐ Yes ☐ No ☐ Unsure
2. Implement personal work schedule	2.1 Communicate personal work schedule to relevant personnel 2.2 Monitor own performance according to personal work schedule 2.3 Document variations between expected and actual work performance according to task requirements and communicate to relevant personnel	☐ Yes ☐ No ☐ Unsure
3. Review personal work priorities	3.1 Seek and evaluate feedback from relevant stakeholders on own work performance 3.2 Analyse variations between expected and actual work performance 3.3 Update personal work schedule according to internal and external feedback and changes in circumstances	☐ Yes ☐ No ☐ Unsure

BSBPMG426 Apply Project Risk Management Techniques

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Assist with risk analysis and planning	1.1 Identify project deliverables, objectives and resources 1.2 Identify and prioritise potential and actual risks of project, and advise project manager 1.3 Establish with relevant personnel risk-analysis methods, techniques and tools 1.4 Contribute to developing risk management strategies, approaches and plans according to organisational policies and procedures 1.5 Contribute to developing and implementing risk-reporting mechanisms	☐ Yes ☐ No ☐ Unsure
2. Review risks and execute risk-control activities	2.1 Monitor actual and potential risks according to agreed project and risk management plans and advise project manager of changing circumstances 2.2 Identify opportunities and changing environment for project activities, and advise project manager 2.3 Contribute to amending project and risk management plans and confirming plans reflect the changing environment 2.4 Contribute to reporting opportunities for risk control	☐ Yes ☐ No ☐ Unsure
3. Develop contingency plan	3.1 Contribute to corrective action on risks according to risk management plan and delegated authority 3.2 Contribute to review of contingency plans on an ongoing basis 3.3 Confirm tasks allocated to individuals and teams are agreed with supervisor before implementation 3.4 Apply and monitor risk-contingency measures	☐ Yes ☐ No ☐ Unsure
4. Contribute to assessing risk management outcomes	4.1 Contribute to ongoing review of project outcomes and determine effectiveness of risk management activities 4.2 Seek feedback and identify risk management issues 4.3 Report risk management issues and responses to relevant stakeholders 4.4 Make changes to project management techniques based on feedback received	☐ Yes ☐ No ☐ Unsure

BSBSTR402 Implement Continuous Improvement

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Identify and plan for improvement	1.1 Identify relevant stakeholders and establish improvements required 1.2 Identify where new systems and processes could be implemented 1.3 Promote team involvement in decision making processes for team systems and processes 1.4 Communicate and agree on new improvement systems and processes with relevant stakeholders 1.5 Manage reports and recommendations for using systems and processes 1.6 Establish risk review processes	☐ Yes ☐ No ☐ Unsure
2. Monitor implementation of continuous improvement	2.1 Use workplace systems and technology, and monitor team performance according to organisational policies and procedures 2.2 Implement new systems and processes in consultation with relevant stakeholders 2.3 Maintain new system and processes in consultation with relevant stakeholders 2.4 Identify and resolve system and process issues	☐ Yes ☐ No ☐ Unsure
3. Evaluate implementation of continuous improvement	3.1 Communicate productivity improvements to relevant stakeholders and confirm their understanding 3.2 Seek and respond to feedback from relevant stakeholders on proposed improvement systems and process 3.3 Review improvement systems and process, and make changes, as required	☐ Yes ☐ No ☐ Unsure

BSBTEC402 Design and Produce Complex Spreadsheets

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Prepare and plan to develop spreadsheet	1.1 Organise personal work environment in accordance with ergonomic requirements 1.2 Analyse task and determine specifications for spreadsheets 1.3 Identify requirements of data entry, storage, output, reporting and presentation requirements 1.4 Apply work organisation strategies and energy and resource conservation techniques	☐ Yes ☐ No ☐ Unsure
2. Develop a linked spreadsheet solution	2.1 Use spreadsheet design software functions and formulae to meet identified requirements 2.2 Link spreadsheets according to software procedures 2.3 Format cells and use data attributes assigned with cell references 2.4 Test formulae to confirm output meets task requirements	☐ Yes ☐ No ☐ Unsure
3. Automate and standardise spreadsheet operation	3.1 Evaluate and identify tasks requiring automation 3.2 Create, use and edit macros to fulfil requirements of task and automate spreadsheet operation 3.3 Develop, edit and use templates and ensure consistency of design and layout according to task requirements	☐ Yes ☐ No ☐ Unsure
4. Use spreadsheets	4.1 Enter, check and amend data according to task requirements 4.2 Import and export data between compatible spreadsheets and adjust documents, according to software and organisational procedures 4.3 Use help function to overcome problems with design and production 4.4 Preview, adjust and prepare spreadsheet in accordance with organisational and task requirements	☐ Yes ☐ No ☐ Unsure
5. Represent numerical data in graphic form and store spreadsheet	5.1 Determine style of graph to meet specified requirements and manipulate spreadsheet data, where required 5.2 Create graphs with labels and titles from numerical data contained in a spreadsheet file 5.3 Name and store spreadsheet in accordance with organisational requirements and exit application	☐ Yes ☐ No ☐ Unsure

BSBTWK401 Build and Maintain Business Relationships

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Establish business relationships	1.1 Identify business development and networking objectives of the organisation and own role 1.2 Determine networking opportunities according to identified objectives and organisational policies and procedures 1.3 Confirm communication channels for information exchange with business contacts 1.4 Engage with business contacts using written and verbal communication to promote business opportunities	☐ Yes ☐ No ☐ Unsure
2. Maintain business relationships	2.1 Use communication techniques to establish rapport with business contacts 2.2 Identify barriers to business development opportunities 2.3 Use problem-solving techniques to negotiate solutions to identified situations 2.4 Seek specialist advice in the development of contacts, as required	☐ Yes ☐ No ☐ Unsure
3. Build and improve business relationships	3.1 Develop strategies to represent and promote organisational interests to contacts 3.2 Participate in formal and informal networks that promote the organisation 3.3 Communicate issues regarding relationships in writing and verbally to organisational personnel 3.4 Seek and respond to feedback from management on the quality of relationships with business contacts	☐ Yes ☐ No ☐ Unsure

BSBWHS414 Contribute to WHS Risk Management

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Access information and data used to identify hazards, and to assess and control risks	1.1 Access and review current WHS laws relevant to organisation's hazard identification and risk control processes 1.2 Access workplace sources of information and data to inform hazard identification, risk assessment and risk controls 1.3 Access external sources of information and data to inform hazard identification, risk assessment and risk controls 1.4 Analyse information and data and determine nature and scope of workplace hazards, risk assessment and risk controls 1.5 Confirm information and data with required stakeholders, seeking input from technical and other advisors as required	☐ Yes ☐ No ☐ Unsure
2. Contribute to identifying risk management requirements and compliance	2.1 Contribute to identifying and complying with requirements of organisational policies, procedures, processes and systems for hazard identification, risk assessment and risk controls 2.2 Contribute to identifying and complying with requirements of WHS laws and guidelines for hazard identification, risk assessment and risk controls 2.3 Identify duty holders, and their roles and responsibilities according to risk management requirements 2.4 Identify tools used by organisational in current hazard identification and risk control processes	☐ Yes ☐ No ☐ Unsure
3. Contribute to workplace hazard identification	3.1 Contribute to selecting hazard identification tools and techniques according to WHS laws, and risk management requirements 3.2 Use hazard identification tools and techniques to assist with identifying hazards according to risk management requirements 3.3 Contribute to documenting hazard identification processes and results according to risk management requirements 3.4 Apply knowledge of hazards to advise individuals and/or parties about workplace hazards and the harms they may cause	☐ Yes ☐ No ☐ Unsure

4. Contribute to WHS risk assessment	4.1 Identify individuals and/or parties at risk of exposure to hazards and determine the nature, severity and likelihood of potential harm	☐ Yes
	4.2 Contribute to applying tools, techniques and processes to identified hazards to assess risk, according to risk management requirements	☐ No
	4.3 Contribute to documenting risk assessment results according to risk management requirements	☐ Unsure
	4.4 Contribute to communicating risk assessment outcomes with workers, contract workers, managers and technical specialists according to risk management requirements	
5. Contribute to developing and implementing risk controls	5.1 Contribute to selecting risk controls for identified hazards based on the risk assessment	☐ Yes
	5.2 Document agreed risk controls according to risk management requirements	☐ No
	5.3 Contribute to developing risk controls according to the hierarchy of control measures and WHS laws	☐ Unsure
	5.4 Contribute to implementing risk controls and seek supervisory advice as required by the circumstances	
	5.5 Support communication of information on risk controls and actions to required individuals and/or parties	
6. Contribute to evaluating effectiveness of risk controls	6.1 Identify requirements for ensuring ongoing effectiveness of risk controls	☐ Yes
	6.2 Contribute to identifying measures that enable evaluation of effectiveness of risk controls	☐ No
	6.3 Document plan for monitoring effectiveness of risk controls according to organisational policies and procedures	☐ Unsure
	6.4 Present and effectively communicate plan to required stakeholders according to risk management requirements	

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As summarised on pages 1 and 2, in addition to the above checklist, applicants are to provide a portfolio of work history to the assessor to verify work experience.

In the case of a loan writer please provide a recent loan application completed.

In the case of people working in a back office/support situation please provide a detailed job description.

In the case of people working in consumer credit please provide a recent contract or credit application.

Note: With any contracts or client applications, please remove (black out) your client's personal identifiers such as names, telephone numbers, email addresses, etc.